# RECLAMATION
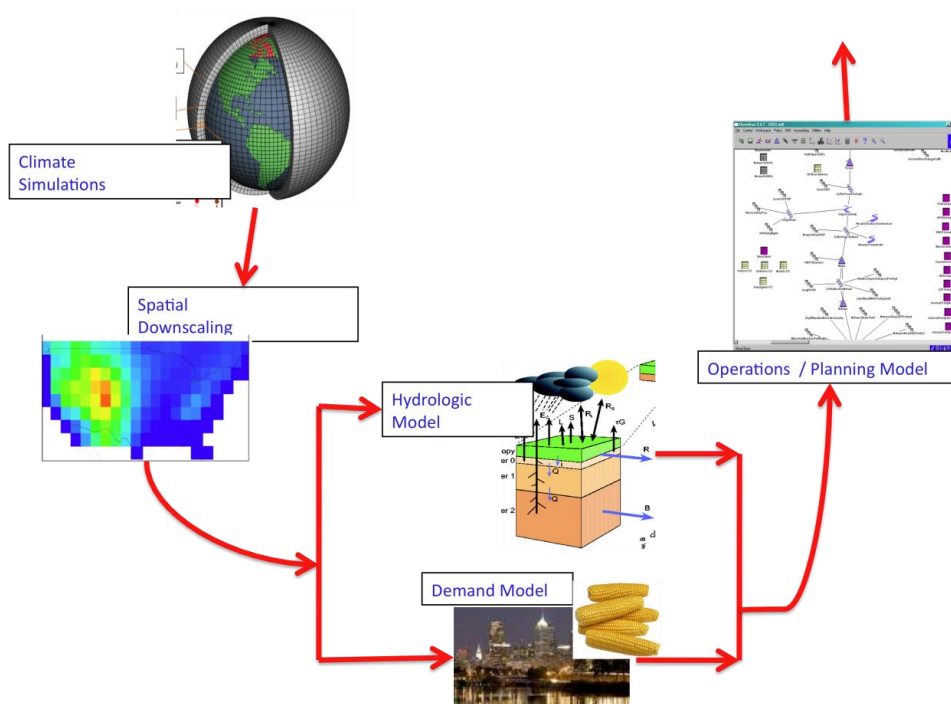## *Managing Water in the West*

**Funding Opportunity Announcement No. R10SF80326**

# WaterSMART:

# Research Grants to Develop Climate Analysis Tools



Climate Simulations

Spatial Downscaling

Hydrologic Model

Demand Model

Operations / Planning Model

**U.S. Department of the Interior**
**Bureau of Reclamation**
**Policy and Administration**
**Denver, Colorado**

**April 2010**

# Mission Statements

The mission of the Department of the Interior is to protect and provide access to our Nation's natural and cultural heritage and honor our trust responsibilities to Indian Tribes and our commitments to island communities.

The mission of the Bureau of Reclamation is to manage, develop, and protect water and related resources in an environmentally and economically sound manner in the interest of the American public.

# Synopsis

| | |
|---|---|
| **Federal Agency Name:** | Department of the Interior, Bureau of Reclamation, Policy and Administration |
| **Funding Opportunity Title:** | WaterSMART Research Grants to Develop Climate Analysis Tools |
| **Announcement Type:** | Funding Opportunity Announcement (FOA) |
| **Funding Opportunity Number:** | R10SF80326 |
| **Catalog of Federal Domestic Assistance (CFDA) Number:** | 15.507 |
| **Dates:** (See FOA Sec. IV.B) | Application due date: July 2, 2010 4:00 p.m. Mountain Daylight Time |
| **Eligible Applicants:** (See FOA Sec. III.A) | Universities, non-profit research institutions, or organizations with water or power delivery authority |
| **Recipient Cost-Share:** (See FOA Sec. III.D) | 50 percent or more of project costs |
| **Federal Funding Amount:** (See FOA Sec. II.B) | Up to $200,000 per agreement |
| **Estimated Number of Agreements to be Awarded:** (See FOA Sec. II.B) | 5 - 8 |
| **Total Amount of Funding Available for Award:** (See FOA Sec. II.A) | up to $1,000,000 |

# Application Checklist

The following table contains a summary of the information that the applicant is required to submit with a WaterSMART Grant application.

| √ | What to submit | Required content | Form or format | When to submit |
|---|---|---|---|---|
| | **Cover page** | **See Sec. IV.D.2.a.** | **Form SF 424, available at: <http://www.grants.gov/agencies/approved_standard_forms.jsp#1> Page 16** | * |
| | **Assurances** | **See Sec. IV.D.2.b.** | **Form SF 424B or SF 424D, as applicable, available at: <http://www.grants.gov/agencies/approved_standard_forms.jsp#1> Page 16** | * |
| | **Title page** | **See Sec. IV.D.2.c.** | **Page 16** | * |
| | **Table of contents** | **See Sec. IV.D.2.d.** | **Page 16** | * |
| | **Technical proposal and evaluation criteria:** | **See Sec. IV.D.2.e.** | **Page 16** | * |
| | **• Executive summary** | **See Sec. IV.D.2.e.(1)** | **Page 16** | * |
| | **• Technical project description** | **See Sec. IV.D.2.e.(2)** | **Page 16** | * |
| | **• Evaluation criteria** | **See Sec. IV.D.2.e.(3)** | **Pages 17-20** | * |
| | **Description of Performance Measures** | **See Sec. IV.D.2.f.** | **Page 20** | * |
| | **Environmental and Regulatory Compliance** | **See Sec. IV.D.2.g.** | **Page 21** | * |
| | **Required permits and approvals** | **See Sec. IV.D.2.h.** | **Page 22** | * |
| | **Funding plan** | **See Sec. IV.D.2.i.** | **Page 22** | * |
| | **Letters of commitment** | **See Sec. IV.D.2.i.** | **Page 22** | |
| | **Official resolution** | **See Sec. IV.D.2.j.** | **Page 23** | ** |
| | **Project budget proposal:** | **See Sec. IV.D.2.k.** | **Pages 23-27** | * |
| | **• General requirements** | **See Sec. IV.D.2.k.(1)** | **Page 23** | * |
| | **• Budget format** | **See Sec. IV.D.2.k.(2)** | **Page 23** | * |
| | **• Budget narrative** | **See Sec. IV.D.2.k.(3)** | **Page 23** | * |
| | **• Budget form** | **See Sec. IV.D.2.k.(4)** | **Form SF 424A or SF 424C, as applicable, available at: <http://www.grants.gov/agencies/approved_standard_forms.jsp#1> Page 27** | * |

**\*  Submit materials with your application on July 2, 2010**
**\*\* Documents should be submitted with your application; however, please refer to the applicable Section of the FOA for extended submission dates.**

# Abbreviations and Acronyms

| | |
|---|---|
| AOR | Authorized Organization Representatives |
| ARC | Application Review Committee |
| CCR | Central Contractor Registration |
| CFDA | Catalog of Federal Domestic Assistance |
| CSC | Climate Science Center |
| DOI | Department of Interior |
| DUNS | Data Universal Number System |
| E-Biz POC | E-Business Point of Contact |
| EIN | Employer Identification Number |
| ESA | Endangered Species Act |
| ET | Evapo-transpiration |
| FAQ | Frequently Asked Question |
| FOA | Funding Opportunity Announcement |
| GO | Grants Officer |
| IRS | Internal Revenue Service |
| LCC | Landscape Conservation Cooperative |
| NEPA | National Environmental Policy Act |
| NHPA | National Historic Preservation Act |
| NOAA – RISA | National Oceanic and Atmospheric Administration – Regional Integrated Sciences and Assessments |
| OMB | Office of Management and Budget |
| TIN | Taxpayer Identification Number |
| USGS | U.S. Geological Survey |
| WaterSMART | Sustain and Manage America's Resources for Tomorrow |
| WWRA | West-Wide Risk Assessment |

# Contents

Contents

# Section I—Funding Opportunity Description

## A. WaterSMART Grants: Research Grants to Develop Climate Analysis Tools

The Nation faces an increasing set of water resource challenges. Adequate and safe water supplies are fundamental to the health, economy, security, and ecology of the country. With increased demands for water from growing populations and energy needs, amplified recognition of environmental water requirements, and the potential for decreased supplies due to drought and climate change, a water balance cannot be achieved without enhanced management techniques, including increasing the use of renewable energy in the management and delivery of water. As these issues grow, the need for information and tools to better achieve a sustainable water future also grows.

The Department's WaterSMART (Sustain and Manage America's Resources for Tomorrow) program is working to achieve a sustainable water strategy to meet the Nation's water needs. Through WaterSMART Research Grants, Reclamation provides cost-shared funding on a competitive basis for research activities that are designed to enhance the management of water resources in a changing climate.

For further information on the WaterSMART program, see
<http://www.usbr.gov/WaterSMART/>.

## B. Objective of Funding Opportunity Announcement

The objective of this FOA is to invite universities, non-profit research institutions, and organizations with water or power delivery authority to leverage their money and resources by cost sharing with Reclamation on research activities designed to enhance the management of water resources, including developing tools to assess the impacts of climate change on water resources.

These research projects will focus on the knowledge gaps outlined in USGS Circular 1331: Climate Change and Water Resources Management—A Federal Perspective (Section 6). Research projects will support ongoing efforts under the Secure Water Act (Subtitle F of Title IX of the Omnibus Public Land Management Act of 2009, P.L. 111-11 (42 USC 10364), including efforts within Department of the Interior (DOI) Landscape Conservation Cooperatives (LCCs), Basin Studies, and West-Wide Risk Assessments (WWRAs). These three programs serve important functions in addressing the effects of climate change on water resources:

- LCCs are partnerships that bring together science and resource conservation to support and complement adaptation strategies addressing climate change and water conservation.

- Basin Studies are comprehensive water supply and demand studies evaluating the ability to meet future water demands within a basin or sub-basin.

- WWRAs provide a consistent baseline of climate impact information that the Basin Studies may use.

Together, these programs support Reclamation's efforts to meet the obligation under Section 9503 of the Secure Water Act of establishing a climate change adaptation program.  The research projects will assist these efforts by helping to narrow uncertainties, provide information in more usable forms, or develop more robust strategies for incorporating uncertainty into decisionmaking.

Enhanced water management is a crucial element of any plan to address the Nation's water issues.  With leveraged water management research grants, an important step will be taken towards improving water management for a more efficient use of water in the West.

## C.  Program Authority

This FOA is issued under the authority of the Section 9504 of the Secure Water Act, Subtitle F of Title IX of the Omnibus Public Land Management Act of 2009, P.L. 111-11(42 USC 10364).

## D.  Frequently Asked Questions

A list of Frequently Asked Questions (FAQs) about WaterSMART and the application process can be found on-line at <http://www.usbr.gov/WaterSMART>.  The FAQs list will be updated periodically during the application period.

# Section II— Award Information

## A. Total Project Funding

It is expected that a total of up to $1,000,000 in Federal funds will be available for project awards under this FOA.

## B. Project Funding Limitations

Reclamation's share of any one proposed project shall not exceed 50 percent of the total project costs. Up to $200,000 in Federal funding will be available for each project award. Reclamation may make awards exceeding that amount on a case-by-case basis. Between 5 - 8 agreements are expected to be made under this FOA; however, Reclamation reserves the right to make additional awards at a later date, depending on the availability of funding.

## C. Reclamation Responsibilities

### 1. Reclamation Involvement

Research project awards will be made through grants or cooperative agreements as applicable to each project. If a cooperative agreement is awarded, the recipient should expect Reclamation to have substantial involvement in the project. Substantial involvement by Reclamation will include:

- **Collaboration and participation** with the recipient in the management of the research project and close oversight of the recipient's activities to ensure that the program objectives are being achieved.

- **Oversight** may include review, input, and approval at key interim stages of the research project.

### 2. Technical Assistance

At the request of the recipient, Reclamation may provide technical assistance after award of the project. If you receive Reclamation's assistance, you must account for these costs in your budget. To discuss assistance available and these costs, you may contact Dave Raff at 303-445-2461 for further information.

# D.  Award Date

It is expected that the names of potential award recipients will be announced in August 2010.  Within one to three months after the initial announcement, assistance agreements will be awarded to applicants that successfully pass all pre-award reviews and clearances.

# Section III— Eligibility Information

## A. Eligible Applicants

In accordance with P.L. 111-11, Section 9504, of the Secure Water Act, eligible applicants include any:

- University located in the United States

- Non-profit research institution located in the United States

- Organization with water or power delivery authority located in the western United States or Territories (as identified in the Reclamation Act of June 17, 1902, as amended and supplemented; specifically, Arizona, California, Colorado, Idaho, Kansas, Montana, Nebraska, Nevada, New Mexico, North Dakota, Oklahoma, Oregon, South Dakota, Texas, Utah, Washington, Wyoming, American Samoa, Guam, the Northern Mariana Islands, and the Virgin Islands)

## B. Eligible Research Projects

***Projects should seek to develop knowledge, information, and tools that will lead to enhanced management of water resources in the western United States in a changing climate. Proposed projects are expected to deliver new capabilities that address knowledge gaps summarized in U.S. Geological Survey (USGS) Circular 1331, Chapter 6, Table 2 (See <http://pubs.usgs.gov/circ/1331/Circ1331.pdf> page 34) or updates thereof. The knowledge gaps in Table 2 were identified by water and environmental resource managers as critical to their ability to effectively manage water and aquatic habitats in a changing climate.***

This FOA is available for research activities that will help enhance the management of water resources. Research Areas A-E, below, describe projects eligible for funding under this FOA. All projects must be completed by September 30, 2012, unless otherwise agreed upon. Applicants may submit multiple project proposals.

Research Areas A-E correspond to the fundamental analytical steps in the process by which climate information can inform the management of water resources. There are five fundamental steps in the process:

- Obtaining relevant climate information (Research Area A)

- Using the climate information to evaluate how the natural system responds (Research Area B)

- Using the climate information to evaluate how the social system may respond (Research Area C)

- Characterizing the water management system may perform given the natural and social responses (Research Area D)

- Communicating information, with its associated uncertainties, to the water management decision making community and interested stakeholders (Research Area E)

## 1.  Research Area A—Climate Data, Information Development and Availability

These projects address the first analytic step in the process by which climate information can inform the management of water resources.  This step involves acquiring climate information at the location of a water management decision.  Research Area A projects will provide access to climate information at a spatial and temporal scale relevant for basin specific planning studies.  These projects can provide information based on future climate projections or on increased knowledge of the past climate system (paleoclimate) variability.  Projects include but are not limited to:

a.  Downscaled data at finer spatial resolutions than Global Climate Models, for temperature, precipitation or additional meteorological variables.  Proposals should seek to improve existing capabilities currently available to water managers (e.g., the Bias Corrected and Spatially Downscaled WCRP CMIP3 Climate Projections <http://gdo-dcp.ucllnl.org/downscaled_cmip3_projections/>)

b.  Downscaled climate data that is developed in a manner that is not fundamentally based on an assumption that the relationships of spatial scales observed in the past are a reasonable expectation of the future relationships of scale ("stationarity")

c.  Paleoclimatic information related to precipitation and temperature and historical volumetric river flows

## 2.  Research Area B—Assess Natural System's Response to Climate Change

These projects address the second analytic step in the process by which climate information can inform the management of water resources.  This step involves using climate information, as developed in step 1 (Research Area A), to evaluate the natural system response.  Natural systems' responses include watershed hydrology, ecosystems, land cover, water quality, and consumptive use requirements of irrigated lands, sediment yield, and river hydraulics.  Research Area B projects will provide information and tools to assess the response of the natural system that will inform future water supply, water demand, and operational characterization for water management.  Operational characterizations, as described further in Research Area C, include describing how

society may prioritize competing interests such as environmental, water quality, and flood risk reduction in a changing climate.  Projects include, but are not limited to:

a.  Assessing impacts to groundwater and its interaction with surface water, such as how groundwater and surface water supplies may interact or change in the future.

b.  Assessing impacts to land cover and ecosystems.  This includes changes to evapo-transpiration (ET) rates, as well as changes to species distribution (flora and fauna), such as changes in aquatic species populations.

c.  Assessing extreme hydrologic possibilities related to flood risk associated with structural safety and flood control rule requirements.  This includes extreme precipitation changes and changes in flood timing and flood magnitudes.

d.  Determining and communicating the implications of choosing a specific hydrologic tool for runoff impact assessments.  For example, the base assumptions or biases that may be associated with choosing one hydrologic model over another to characterize rainfall to runoff response during future precipitation events.

## 3.  Research Area C—Assess Social System's Response to Climate Change

These projects address the third analytic step in the process by which climate information can inform the management of water resources.   This step involves assessing how society may change its behavior in response to a changing climate, and how that change may affect future water management.  Research Area C projects will provide information or tools to assess the response of the social, economic, and institutional systems that will inform future water demand and operational characterizations.  Operational characterizations include assumptions of societal prioritizations across potentially competing water interests such as environmental, water quality, and flood risk reduction.  Projects include but are not limited to:

a.  Anticipating social responses that constrain reservoir management.  For example, if society places a greater or lesser priority on flood risk mitigation in the future, that prioritization may influence water operations and water supply for agricultural and/or environmental purposes.

b.  Assessing water user requirements for different crops under climate and atmospheric carbon dioxide changes.  Varying temperature and precipitation may alter agricultural practices (e.g. choosing when to plant and what types of crops to plant), which may influence the management of water resources.

## 4.  Research Area D—Assess Operations and Dependent Resources Response

These projects address the fourth step in the process by which climate information can inform the management of water resources.   This step involves assessing how the system itself will be impacted in terms of ability to deliver water and resources dependent on these deliveries, such as agricultural or environmental resources. These projects can

include the evaluation of system risks to meet demands, such as agricultural calls for deliveries, given a certain projection of supply and the operational characterizations developed in steps 1- 3.  Projects that evaluate adaptation strategies to reduce risk to water systems operations are also considered in this Research Area.  Projects can also focus on system risks related to human safety as well as economic and environmental damages under changes to extreme hydrologic event possibilities.  Projects include but are not limited to:

a.  Assessing how different choices for imposing changes to policy implementation may impact operations and dependent resource responses.

b.  Developing a method to assess operations impacts based on the water system operator's ability to learn and adapt to the effects of climate change.  For example, in a planning study it is unlikely for a negative outcome to continue to occur without the operator learning from prior experience and changing practice.

c.  Assessing operations impacts on climate.  Changes to operations may influence the carbon cycle. For example, changes in energy resource management and agricultural practices may impact the climate.

## 5.  Research Area E—Ability to Assess, Characterize, and Communicate Uncertainties

These projects address the fifth step in the process by which climate information can inform the management of water resources. This step involves providing information in a manner relevant to a decision process, which includes assessing, characterizing, and communicating the uncertainties associated with steps 1 – 4 (Research Areas A – D). These projects will characterize and communicate the uncertainties associated with a climate change impact and risk evaluation study.  Use of climate projections contain uncertainties, beyond those typically considered in water management planning, that if appropriately assessed and characterized will improve water management decisions. Projects will also investigate methods to communicate and inform decision makers. Projects include but are not limited to:

a.  Assessing and characterizing the uncertainties for climate change impact studies. For example, climate projections, downscaling methods, natural and social system response analyses, and operations analyses.

b.  Assessing the interrelation of uncertainties across stages of climate change impact studies.  For example, how do the uncertainties associated with climate projection development affect the uncertainties associated with evaluating societal responses?

c.  Developing the ability to effectively communicate uncertainties and their relation to water management planning processes.

# C.  Length of Research Projects

Proposed research activities should be completed by September 30, 2012 from the date funding is awarded, unless otherwise agreed upon.  Applications for Research Grants that cannot be completed by September 30, 2012 will be considered if it can be demonstrated that there will be measurable accomplishments each year.

# D.  Cost-Sharing Requirement

Applicants must be willing to cost share 50 percent or more of the total project costs. Cost sharing may be made through cash or in-kind contributions from the applicant or third-party partners.  Cost share funding from sources outside the applicant's organization, e.g., loans or state grants, is to be secured and available to the applicant by no later than September 1, 2010.  Funding commitment letters must be submitted in accordance with Section IV.C and contain the information stated at Section IV.D.2.i. Applicant cost sharing in excess of 50 percent will be more favorably ranked during the selection process.

## 1.  Regulations

All cost-share contributions must meet the criteria established in the Office of Management and Budget's (OMB) administrative and cost principles circulars that apply to the applicant.  These circulars are available at <http://www.whitehouse.gov/omb/circulars/>.

- **STATE, LOCAL, AND TRIBAL GOVERNMENTS** that are recipients or subrecipients shall use:

  o  Circular A-87, revised May 10, 2004, "Cost Principles for State, Local, and Indian Tribal Governments"

  o  Circular A-102, as amended August 29, 1997, "Grants and Cooperative Agreements with State and Local Governments" (Grants Management Common Rule, Codification by Department of Interior, 43 CFR 12, Subpart C)

  o  Circular A-133, revised June 27, 2003, "Audits of States, Local Governments, and Non-Profit Organizations"

- **NONPROFIT ORGANIZATIONS** that are recipients or subrecipients shall use:

- Circular A-110, as amended September 30, 1999, "Uniform Administrative Requirements for Grants and Agreements With Institutions of Higher Education, Hospitals, and Other Non-Profit Organizations" (Codification by Department of Interior, 43 CFR 12, Subpart F)

- Circular A-122, revised May 10, 2004, "Cost Principles for Non-Profit Organizations"

- Circular A-133, revised June 27, 2003, "Audits of States, Local Governments, and Non-Profit Organizations"

- **ORGANIZATIONS OTHER THAN THOSE INDICATED ABOVE** that are recipients or subrecipients shall use the basic principles of OMB Circular A-110 (Codification by Department of Interior, 43 CFR 12, Subpart F), and cost principles shall be in accordance with 48 CFR Subpart 31.2, titled "Contracts with Commercial Organizations, " which is available at <http://www.gpoaccess.gov/ecfr>.

Additionally, please reference 43 CFR 12.77 for further regulations that cover the award and administration of subawards by State governments.

## 2. In-Kind Contributions

In-kind contributions constitute the value of noncash contributions that benefit a federally assisted project. These contributions may be in the form of real property, equipment, supplies and other expendable property, as well as the value of goods and services directly benefiting and specifically identifiable to the project or program. The cost or value of in-kind contributions that have been or will be relied on to satisfy a cost-sharing or matching requirement for another Federal financial assistance agreement, a Federal procurement contract, or any other award of Federal funds may not be relied on to satisfy the cost-share requirement for WaterSMART Grant applications.

## 3. Pre-Award Costs

Research project costs that have been incurred prior to the date of award but after the date of authorization and appropriation for this Program may be submitted for consideration as an allowable portion of the recipient's cost-share for the project. **In no case will pre-award costs incurred prior to October 28, 2009, be considered for cost-share purposes**.

Reclamation will review the proposed pre-award costs to determine if they are allowable in accordance with the authorizing legislation and applicable cost principles. To be considered allowable, any pre-award costs proposed for consideration under the new awards must comply with all applicable requirements under this FOA.

## 4. Indirect Costs

Indirect costs that will be incurred during the performance of the research which will not otherwise be recovered, may be included as part of the applicant's cost-share. Indirect costs are those that are both:

(1) Incurred for a common or joint purpose benefiting more than one cost objective

(2) Not readily assignable to any one cost objective

For further information on indirect costs, refer to the applicable OMB cost principles circular.

# Section IV—Application and Submission Information

## A.  Address to Request Application Package

This document contains all information, forms, and electronic addresses required to obtain the information required for submission of an application.

If you are unable to access this information electronically, you can request paper copies of any of the documents referenced in this FOA by contacting:

By mail:       Bureau of Reclamation
               Acquisition Operations Group
               Attn:  Stephanie Bartlett
               Mail Code:  84-27810
               P.O. Box 25007
               Denver CO  80225

E-mail:        sbartlett@usbr.gov

Phone:         303-445-2025


## B.  Application Submission Date and Time

Application submission date deadline:

- July 2, 2010 4:00 p.m., Mountain Daylight Time

Proposals received after the application deadline will not be considered unless it can be determined that the delay was caused by Federal government mishandling or by the Grants.gov application system.


## C.  Application Delivery Instructions

Applications may be submitted electronically through <http://www.grants.gov> or hard copies may be submitted as follows:

By mail:

>   Bureau of Reclamation
>   Acquisition Operations Group
>   Attn:  Stephanie Bartlett
>   Mail Code:  84-27810
>   P.O. Box 25007
>   Denver CO  80225

Express delivery:

>   Bureau of Reclamation
>   Attn:  Stephanie Bartlett, Mail Code:  84-27810
>   Denver Federal Center, Bldg. 67 Rm. 152
>   6th Avenue and Kipling Street
>   Denver CO  80225
>
>   Telephone:  303-445-2025

## D.  Instructions for Submission of Research Project Application

Each applicant shall submit an application in accordance with the instructions contained in this section.

- Applicants shall submit an **original and one copy** of all application documents for hardcopy submissions.  Each document should be clearly identified as the "ORIGINAL" or as a "COPY."

- Please do not use "comb," "spiral," or adhesive methods to bind the documents.

- Hard copy applications may be submitted by mail or express methods to the addresses listed in Section IV.C, above.

- Materials arriving separately will not be included in the application package and may result in the application being rejected or not funded.

- Faxed copies of application documents will not be accepted.

- Do not include a cover letter or company literature/brochure with the application.  All pertinent information must be included in the application package

- Electronic applications must be submitted through Grants.gov at <http://www.grants.gov>.

- o Please note that submission of an application electronically requires prior registration through Grants.gov, which may take 7-21 days. See Section VIII.B for further information on submission of applications through Grants.gov.

- o Applicants have sometimes experienced significant delays when attempting to submit applications through Grants.gov. If you plan to submit your application through Grants.gov, you are encouraged to submit your application several days prior to the application deadline. If you are a properly registered Grants.gov applicant, and you encounter problems with the Grants.gov application submission process, you must contact the Grants.gov Help desk to obtain a "Case Number." This Case Number will provide evidence of your attempt to submit an application prior to the submission deadline.

- Regardless of the delivery method used, applicants must ensure that their proposals arrive by the date and time deadline stated in Section IV.B., above. Late applications will not be accepted unless it is determined that the delay was caused by Federal government mishandling or by a problem with the Grants.gov application system.

## 1. Application Format and Length

The total application package shall be no more than **50 consecutively numbered** pages, and shall be single spaced and printed single sided. If an application exceeds 50 pages, only the first 50 pages will be evaluated. The font shall be at least 12 points in size and easily readable. Page size shall be 8 ½" x 11" except for an occasional larger size for charts, maps, or drawings. The Technical Proposal section shall be limited to a maximum of **20** (twenty) pages.

Applications will be prescreened for compliance to the page number limitations.

## 2. Application Content

The application must include the following elements in order to be considered complete:
- SF-424 Core Form – Application cover page
- SF-424 B or D Form, as applicable to the project
- Title page
- Table of contents
- Technical proposal (limited to **20** pages)
  - o Executive summary
  - o Technical project description
  - o Research evaluation criteria
- Post-project benefits (performance measures)
- Potential environmental impacts
- Required permits and approvals
- Funding plan and letters of commitment
- Letters of project support (do not submit separately)
- Official resolution
- Project budget application

- o   Budget proposal
- o   Budget Narrative
- o   SF-424 A or C Form, as applicable to the project

SF-424, SF-424A, SF-424B, SF-424C, and SF-424D forms may be obtained at <http://www.grants.gov/agencies/aapproved_standard_forms.jsp#1>.

### a.  SF-424 Application Cover Page
This fully completed form must be signed by a person legally authorized to commit the applicant to performance of the project.   **Failure to submit a properly signed SF-424 may result in the elimination of the application from further consideration.**

### b.  SF-424 Assurances
An  SF-424B – Assurances – Non-Construction Programs or an SF-424D – Assurances – Construction Programs, signed by a person legally authorized to commit the applicant to performance of the project shall be included.  Questions regarding whether to use an SF-424B or SF-424D should be referred to Stephanie Bartlett at:  sbartlett@usbr.gov. **Failure to submit a properly signed SF-424B or SF-424D may result in the elimination of the application from further consideration**.

### c.  Title Page
Provide a brief, informative, and descriptive title for the proposed work that indicates the nature of the project.  Include the name and address of the applicant, and the name and address, e-mail address, telephone, and fax numbers of the research project manager.

### d.  Table of Contents
List all major sections of the technical proposal in the table of contents.

### e.  Technical Proposal and Evaluation Criteria
**The technical proposal (20 pages maximum) includes:  (1) the Executive Summary, (2) Technical Project Description, and (3) Technical Proposal:  Research Evaluation Criteria.  To ensure accurate and complete scoring of your application, your proposal should address each subcriterion in the order presented here.  Where applicable, the point value is indicated.**

(1)   **Technical Proposal:  Executive Summary.**  Include a one-paragraph project summary that specifies the Research Area (A, B, C, D, or E) and briefly identifies how the proposed project contributes to accomplishing the goals of this research area (see Section III.B, "Eligible Research Projects").  Discuss briefly how the required work will be performed and what are the highlights of the proposal.

(2)   **Technical Proposal:  Technical Project Description.**  The technical project description should describe the work in detail and the approach to be used to carry it out.  Break the work out into major tasks.  This description shall have sufficient detail to permit a comprehensive evaluation of the proposal.  The technical project description should also:

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(a) Describe the goal of the work in very specific terms

(b) Explain how the project will enhance water management, including developing tools to assess the impacts of climate change on water resources

(c) Describe and discuss in detail the stages of the proposed project, include an estimated project schedule showing the stages and the duration of the proposed work, including major milestones and dates, and substantiate the method(s) selected, the principles or techniques which are proposed to solve the problem, and the degree of success expected

(d) Provide a specific discussion of the any problems or major difficulties anticipated in performing or accomplishing the work

(e) Describe any prior studies that relate to the project or which will inform the project

(f) Identify sources and support for non-Federal funding

**(3)   Technical Proposal:  Research Evaluation Criteria.** The Technical Proposal portion of your application should thoroughly address each of the following criteria and subcriteria in the order presented to assist in the complete and accurate evaluation of your proposal.

**(a)  <u>Research Relevance and Technical Merit</u> (40 points).**  *Up to **40 points** may be awarded for a proposal to improve water management in a changing climate based on its technical merit.  Points will be allocated to give consideration to projects that are expected to result in significant information, knowledge, or tool development.  Evaluations will be based on an assessment of whether the specific research question can be answered given the proposed tasks, budget, and time.  The primary research question should tie directly to one of the Eligible Projects identified through Research Areas A-E.*

**Subcriterion No. 1—Project Scope**:
*Up to **25 points** may be allocated based on the extent to which the project  will address ongoing research priorities as defined in the Eligible Projects through Research Areas A-E.  This includes identifying the tasks necessary to answer the primary research question.*

**Describe the project scope by including:**

- Under which Research Area(s) A-E does the proposal most closely apply?

- What is the primary research question that is to be studied?

- What are the specific tasks that will be undertaken to answer the research question?

- What is the need for the proposed research?

- What is the expected benefit of the proposed research? What new capabilities will the project deliver? Does the project complement ongoing research activities? Does the project duplicate existing research activities? Does the project complicate or conflict with ongoing efforts in the proposed research area?

**Subcriterion No. 2—Ability to Accomplish Scope**:
*Up to **15 points** may be allocated based on the demonstration in the proposal for the project team (all participants conducting the research tasks) to accomplish the scope of the project in the timeline presented.*

**Describe the project team's ability to accomplish scope on time by including:**

- How will the budget be allocated to each of the tasks identified?

- What is the time required for each task and when during the study will the tasks be accomplished?

- Is the proposed project based on some assumption of available data or resources that may not be currently available?

- Who are the members of the project team and what tasks will each member perform? Describe each project team member's affiliation with a University, non-profit research institution, or organization with water or power delivery authority, as defined under Section III.A. If all members have yet to be identified (for example, a research assistant or a graduate student), please identify the number to be hired.

- What are the academic credentials of each of the project team members?

- Have the project team members accomplished significant research projects in the past either as Principal Investigators or team members?

- Any other relevant information that may help the project team's ability to accomplish scope on time.

**(b) Connection to Water Management / Ongoing Climate to Support Management Activities (30 points).** *Up to 30 points may be awarded if the proposed project is developed to support Reclamation projects or activities directly or through the LCCs[1] or DOI Climate Science Centers (CSCs)[1] or the National Oceanic and Atmospheric Administration – Regional Integrated Sciences and Assessments (NOAA – RISA)[2]. No points under these criteria will be awarded for proposals without connection to a Reclamation project or activity, or involvement from or with LCCs, CSCs, or NOAA-RISAs.*

**Subcriterion No. 1 - Describe how the project is integrated with Reclamation directly:**
*Up to 20 points may be allocated based on the proposals ability to describe how the information, knowledge or tools will be directly used to support an ongoing Reclamation project or activity.*

- What is the geographic extent of the project? Does it lie solely within one or more Reclamation regions or project areas? A list of Reclamation projects and activities for each region can be found at <http://www.usbr.gov/main/regions.html#regionmap>.

- Which Reclamation project or activity will most directly benefit from the proposed project?

**Subcriterion No. 2 – Describe how the proposed project is integrated or complementary to LCCs, CSCs, or NOAA-RISAs:**
*Up to 10 points may be allocated based on the proposals ability to identify relevance to ongoing activities within the LCCs, CSCs, or NOAA-RISAs, in ways not covered above in Subcriterion No.1.*

- Which LCC, CSC, or NOAA-RISA does the geographic extent of the proposed project fall within?

- How does the proposed project tie into the LCCs' identified research priorities?

- How does the proposed project complement ongoing science activities by the CSCs or NOAA-RISA?

**(c) Dissemination of Results (15 points).** *Up to 15 points may be awarded for proposals that can articulate how the research results will be disseminated and communicated directly with Reclamation and cost-share partners.*

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[1] <http://www.doi.gov/whatwedo/climate/strategy/index.cfm>
[2] <http://www.climate.noaa.gov/cpo_pa/risa/>

**Subcriterion No. 1 – Dissemination of Results (Written/Technology Transfer):**
*Up to **10 points** may be awarded based on the applicant's description of the reports planned.*

- Describe the anticipated number and type of peer reviewed scientific journal articles

- If a new tool is developed, describe how it will be transferred to the appropriate water organizations

**Subcriterion No. 2 – Dissemination of Results (Presentations):**
*Up to **5 points** may be awarded for proposals that identify conference and meeting presentations to be given.*

Describe the anticipated number and type of presentations regarding the results of the research.  For example, presentations at scientific conferences or presentations to water managers and water users (within the guidance of Section IV.D.2.k.[3]).

**(d)  Project Financing and Cost Sharing (15 points).**  *Up to **15 points** will be awarded for proposals based on the extent to which costs are reasonable for the work proposed and the extent to which the non-Federal cost-share exceeds minimum requirements.*

**Subcriterion No. 1—Allocation of Costs:**
*Up to **10 points** may be awarded for proposed projects for which the costs are reasonable, necessary, and appropriate for the work proposed.*

Is the budget prepared in accordance with this FOA (Section IV.D.2.k)?

**Subcriterion No. 2—Additional non-Federal Funding**:
*Up to **5 additional points** may be awarded to proposals that provide non-Federal funding in excess of 50 percent of the project costs.*

State the percentage of non-Federal funding provided.

***f.  Performance Measure for Quantifying Actual Postproject Benefits***
Upon completion of the project, WaterSMART Research Grant recipients will be required to submit a Final Report describing the completed project and quantifying the actual project benefits.  If information regarding project benefits is not available immediately upon completion of the project, the financial assistance agreement may be modified to remain open until such information is available and until a Final Report is submitted.

### g. Environmental and Regulatory Compliance

In most cases, there would be no environmental compliance associated with research projects because they would generally involve non-destructive data collection, inventory, study, research, and monitoring activities. However, some environmental compliance may be required if the research project involves any surface-disturbing activities that could affect the surrounding environment, such as clearing brush to perform a survey, or installing monitoring equipment on an existing structure (e.g., headgates) that alters that structure. For research-related activities that would have such disturbances, a one-percent budget line item is required to cover costs associated with environmental compliance.

Reclamation will assess the probable level of environmental compliance that would be required for each application by considering the applicant's responses to the following list of questions focusing on the requirements of the National Environmental Policy Act (NEPA), the Endangered Species Act (ESA), and the National Historic Preservation Act (NHPA). Please answer the following questions to the best of your knowledge. If any question is not applicable to your project, please explain why. If you have any questions, you may contact Dave Raff at 303-445-2461 for further information.

(1) Will the project impact the surrounding environment (e.g., soil [dust], air, water [quality and quantity], animal habitat)? Please briefly describe all earth-disturbing work and any work that will affect the air, water, or animal habitat in the project area. Please also explain the impacts of such work on the surrounding environment and any steps that could be taken to minimize the impacts.

(2) Are you aware of any endangered or threatened species in the project area? If so, would they be affected by any activities associated with the proposed project?

(3) Are there wetlands inside the project boundaries? If so, please estimate how many acres of wetlands there are and describe any impact the project will have on the wetlands.

(4) Are there any known archeological sites in the proposed project area?

(5) Will the research project result in any modification of, or effects to, individual features of a water delivery system (e.g., headgates, canals)?

(6) If you answered yes to the previous question:

    (a) State when those features were constructed and describe the nature and timing of any alterations or modifications to those features.

    (b) Are any buildings, structures, or features in the area of the proposed listed or eligible for listing on the National Register of Historic Places? The local State Historic Preservation Office can assist in answering this question.

(c)  Are there any known archeological sites in the area of the proposed research?  Would they be affected by any activities associated with the research?  The State Historic Preservation Office can assist in answering this question.

### h.  Required Permits or Approvals
Applicants must state in the application whether any permits or approvals are required and explain the plan for obtaining such permits or approvals.

### i.  Funding Plan and Letters of Commitment
Describe how the non-Reclamation share of project costs will be obtained.  Reclamation will use this information in making a determination of financial capability.

Project funding provided by a source other than the applicant shall be supported with letters of commitment from these additional sources.  This is a **mandatory requirement**.  Letters of commitment shall identify the following elements:

(1) The amount of funding commitment

(2) The date the funds will be available to the applicant

(3) Any time constraints on the availability of funds

(4) Any other contingencies associated with the funding commitment

Commitment letters should be included with your project application.  If a final funding commitment has not been received by the date of application, commitment letters are to be submitted by no later than September 1, 2010, to the address shown in Section IV.C, above.

The funding plan must include all project costs, as follows:

(1) How you will make your contribution to the cost-share requirement, e.g., monetary and/or in-kind contributions and the sources of funds you will contribute (e.g., reserve account, tax revenue, and/or assessments).

(2) Describe any in-kind costs incurred before the anticipated project start date that you seek to include as project costs.  The description of these costs shall include:

(a)  What project expenses have been incurred

(b)  How they benefitted the project

(c)  The amount of the expense

(d)  The date of cost incurrence

(3) Provide the identity and amount of funding to be provided by funding partners, as well as the required letters of commitment.

(4) Describe any funding requested or received from other Federal partners. **Note:** Other sources of Federal funding may not be counted towards the applicant's 50 percent cost-share unless otherwise allowed by statute.

(5) Describe any pending funding requests that have not yet been approved, and explain how the project will be affected if such funding is denied.

### j. Official Resolution

Include an official resolution adopted by the applicant's board of directors or governing body, or for state government entities and universities, an official authorized to commit the applicant to the financial and legal obligations associated with receipt of WaterSMART Grant financial assistance, verifying:

- The identity of the official with legal authority to enter into agreement

- The board of directors, governing body, or appropriate official who has reviewed and supports the application submitted

- The capability of the applicant to provide the amount of funding and/or in-kind contributions specified in the funding plan

- The applicant will work with Reclamation to meet established deadlines for entering into a cooperative agreement

**An official resolution meeting the requirements set forth above is mandatory**. If the applicant is unable to submit the official resolution by the application deadline because of the timing of board meetings or other justifiable reasons, the official resolution may be submitted up to 30 days after the application deadline. This requirement does not apply to university applicants.

### k. Budget Proposal

(1) **General Requirements.** Include a research project budget with the annual estimated project costs associated with the proposed project. Include the value of in-kind contributions of goods and services and sources of funds provided to complete the project. The proposal must clearly delineate between Reclamation and applicant contributions.

(2) **Budget Proposal Format.** The project budget shall include detailed information on the categories listed below and must clearly identify all project costs and the funding source(s) (i.e., Reclamation or other funding sources). Unit costs shall be provided for all budget items including the cost of work to be provided by contractors. **Lump sum costs are not acceptable.**

Additionally, applicants shall include a narrative description of the items included in the project budget. It is strongly advised that applicants use the budget format shown on table 1 at the end of this section or a similar format that provides this information.

**(3)** **Budget Narrative Format.** Submission of a budget narrative is mandatory. An award will not be made to any applicant who fails to fully disclose this information. The Budget Narrative provides a discussion of, or explanation for, items included in the budget proposal. Listed below are examples of the types of information to include in the narrative**.**

*(a) Salaries and Wages.* Indicate program manager and other key personnel by name and title. Other personnel may be indicated by title alone. For all positions, indicate salaries and wages, estimated hours or percent of time, and rate of compensation proposed. All labor estimates, including any proposed subcontractors, shall be allocated to specific tasks as outlined in the recipient's technical project description. Labor rates and proposed hours shall be displayed for each task.

Clearly identify any proposed salary increases and the effective date.

Generally, salaries of administrative and/or clerical personnel should be included as a portion of the stated indirect costs. If these salaries can be adequately documented as direct costs, they may be included in this section; however, a justification should be included in the budget narrative.

*(b) Fringe Benefits.* Indicate rates/amounts, what costs are included in this category, and the basis of the rate computations. Indicate whether these rates are used for application purposes only or whether they are fixed or provisional rates for billing purposes. Federally approved rate agreements are acceptable for compliance with this item.

*(c) Travel.* Include purpose of trip, destination, number of persons traveling, length of stay, and all travel costs including airfare (basis for rate used), per diem, lodging, and miscellaneous travel expenses. For local travel, include mileage and rate of compensation.

Travel is limited to presentations to disseminate the results of the research. For example, presentations at scientific conferences or presentations to water managers and water users. Travel should be limited to an appropriate number of personnel and to a reasonable number of trips.

*(d) Equipment.* Itemize costs of all equipment having a value of over $500 and include information as to the need for this equipment. If equipment is being rented, specify the number of hours and the hourly rate.

*(e) Materials and Supplies.* Itemize supplies by major category, unit price, quantity, and purpose, such as whether the items are needed for office use, research, or construction.

*(f) Contractual.* Identify all work that will be accomplished by subrecipients, consultants, or contractors, including a breakdown of all tasks to be completed, and a detailed budget estimate of time, rates, supplies, and materials that will be required for each task. If a subrecipient, consultant, or contractor is proposed and approved at time of award, no other approvals will be required. Any changes or additions will require a request for approval.

*(g) Environmental and Regulatory Compliance Costs.* In most cases, there will be no environmental compliance associated with research projects because they generally will involve nondestructive data collection, research, inventory, study, research, and monitoring activities. If no environmental compliance is expected to be required based on the nature of the planned research activities, then the applicant is not required to include a line item in their budget for environmental compliance activities. In these cases, the minimal cost for Reclamation staff to confirm and document the absence of environmental issues will be considered an administrative cost paid for by Reclamation.

However, if you believe that the research project will require some environmental compliance—however small—then you must include a line item in your budget for environmental compliance activities. For example, if the research project will involve any disturbances to the surrounding environment, such as clearing brush to perform a survey, or installing monitoring equipment on an existing structure (e.g., headgates, canals) that would alter that structure, then some environmental compliance will be required. In the application review and selection process, Reclamation will consider whether the applicant has budgeted appropriately for environmental compliance, taking into consideration the amount budgeted and the applicants responses to the questions set forth above, in Section IV.B.2.g., "Environmental and Regulatory Compliance."

How environmental compliance activities will be performed (e.g., by Reclamation, the applicant, or a consultant), and how the environmental compliance funds will be spent, will be determined pursuant to subsequent agreement between Reclamation and the applicant. If any portion of the funds budgeted for environmental compliance is not required for compliance activities, such funds may be reallocated to the project, if appropriate.

*(h) Reporting.* Recipients are required to report on the status of their project on a regular basis. Include a line item for reporting costs (including final project and evaluation costs). Please see Section VI.C for information on types and frequency of reports required.

*(i) Other.*  Any other expenses not included in the above categories shall be listed in this category, along with a description of the item and what it will be used for. No profit or fee will be allowed.

*(j) Indirect Costs.*  Show the proposed rate, cost base, and proposed amount for allowable indirect costs based on the applicable OMB circular cost principles (see Section III E., "Cost Sharing Requirement") for the recipient's organization.  It is not acceptable to simply incorporate indirect rates within other direct cost line items.

If you have separate rates for recovery of labor overhead and general and administrative costs, each rate shall be shown.  You should propose rates for evaluation purposes, which will be used as fixed or ceiling rates in any resulting award.  Include a copy of any federally approved indirect cost rate agreement.

If you do not have a federally approved indirect cost rate agreement, or if unapproved rates are used, explain why and include the computational basis for the indirect expense pool and corresponding allocation base for each rate. Information on "Preparing and Submitting Indirect Cost Proposals" is available from Interior, the National Business Center, and Indirect Cost Section, at <http://www.aqd.nbc.gov/services/ICS.aspx>.

*(k) Total Cost*.  Indicate total amount of project costs, including the Federal and non-Federal cost-share amounts.

**(4)      Budget Form.**  In addition to the above-described budget information, the applicant must complete an SF-424A, Budget Information – Nonconstruction Programs, or an SF-424C, Budget Information – Construction Programs.  These forms are available at <http://www.grants.gov/agencies/aapproved_standard_forms.jsp#1>**.**

# E. Funding Restrictions

See Section III.D. for restrictions on incurrence and allowability of pre-award costs.

**Table 1.   Sample Budget Proposal Format**

| BUDGET ITEM DESCRIPTION | COMPUTATION | | RECIPIENT FUNDING | RECLAMATION FUNDING | TOTAL COST |
|---|---|---|---|---|---|
| | $/Unit and Unit | Quantity | | | |
| SALARIES AND WAGES | | | | | |
|   Employee 1 | | | | | |
|   Employee 2 | | | | | |
|   Employee 3 | | | | | |
| FRINGE BENEFITS | | | | | |
|   Full-time employees | | | | | |
|   Part-time employees | | | | | |
| TRAVEL | | | | | |
|   Trip 1 | | | | | |
|   Trip 2 | | | | | |
|   Trip 3 | | | | | |
| EQUIPMENT | | | | | |
|   Item A | | | | | |
|   Item B | | | | | |
|   Item C | | | | | |
| SUPPLIES/MATERIALS | | | | | |
|   Office supplies | | | | | |
|   Construction | | | | | |
| CONTRACTUAL/[1] CONSTRUCTION | | | | | |
|   Item 1 | | | | | |
|   Item 2 | | | | | |
|   Item 3 | | | | | |
| ENVIRONMENTAL AND REGULATORY COMPLIANCE[2] | | | | | |
| OTHER | | | | | |
|   Reporting | | | | | |
| | | | | | |
| **TOTAL DIRECT COSTS** | | | | | |
| | | | | | |
| INDIRECT COSTS - __% | | | | | |
| | | | | | |
| **TOTAL PROJECT COSTS** | | | | | |

[1] Contracts should be broken out into specific line items. **Lump sum estimates are not acceptable.** Applicants may attach a separate, detailed budget for each contract to adequately address all contractor budget items.

[2] Environmental and regulatory compliance should be included only if the research project involves any surface-disturbing activities that could affect the surrounding environment.

# Section V—Application Review Information

## A. Review and Selection Process

The Government reserves the right to reject any and all applications which do not meet the requirements of this FOA, or are outside the scope of WaterSMART Grants. Awards will be made for projects most advantageous to the Government. Award selection may be made to maintain balance among the Research Areas listed in Section III.B.

The evaluation process will be comprised of three steps.

### 1. First-Level Screening
All applications will be screened to ensure that:

- The application meets the requirements of the FOA package, including submission of technical and budget proposals, a funding plan, letter(s) of commitment, and related forms

- The application contains a properly executed SF-424 Application for Financial Assistance and a form SF-424B, Assurances–Non-Construction Programs, or SF-424D, Assurances–Construction Programs

    The application includes an official resolution, adopted by the applicant's board of directors, governing body, or appropriate authorized official

- At least 50 percent of the cost of the project will be paid for with non-Federal funding. Cost-share funding commitments are to be submitted to Reclamation by September 1, 2010

- The applicant meets the eligibility requirements stated in this document

- The application meets the description of eligible projects in Section III.B., "Eligible Projects," of this document (Research Areas A-E) and is within the scope of this FOA.

- The project can be completed by September 30, 2012, unless otherwise agreed upon

**An application must pass all First-Level Screening criteria in order for it to be forwarded for further consideration at the Second-Level Evaluation phase.**

**2.  Second-Level Evaluation (Technical Review)**

Research evaluation criteria will comprise 100 points as stated in Section IV.D.2.e(3). An Application Review Committee (ARC), made up of experts in relevant disciplines will score the applications against the research evaluation criteria.

**3.  Third-Level Evaluation (Managerial Review)**

Management will prioritize projects to ensure the total amount of all awards does not exceed available funding levels, to ensure balance among the program tasks, and to ensure that the projects meet the scope and priorities of the WaterSMART program. Positive or negative past performance by the applicant and any partners in previous working relationships with Reclamation will be considered.

# B.  Pre-Award Clearances and Approvals

After completion of the third-level evaluation, Reclamation will notify applicants whose proposals have been selected for award consideration.

Reclamation will also complete a business evaluation and determination of responsibility. During these evaluations, the Grants Officer (GO) will also consider several factors which are important, but not quantified, such as:

- Pre-award clearances, determinations, reviews, and approvals

- Allowability and allocability of proposed costs

- Financial strength and stability of the organization

- Past performance, including satisfactory compliance with all terms and conditions of previous awards, such as environmental compliance issues, reporting requirements, proper procurement of supplies and services, and audit compliance

- Adequacy of personnel practices; procurement procedures; and accounting policies and procedures, as established by applicable OMB circulars

If the results of all pre-award reviews and clearances are satisfactory, an award of funding will be made once the agreement is finalized (approximately one to three months from date of initial selection).

# Section VI—Award Administration Information

## A. Award Notices

Successful applicants will receive, by electronic or regular mail, a notice of award.

## B. Award Document

If the applicant is awarded a financial assistance agreement as a result of this FOA, the proposed research project and other relevant information from the application will be referenced in the agreement. Examples of award documents, including applicable terms and conditions, may be viewed at <http://www.usbr.gov/mso/aamd/doing-business-financial-assistance.html>. The agreement document must be signed by a Reclamation GO before it becomes effective.

## C. Reporting Requirements and Distribution

If the applicant is awarded an agreement as a result of this FOA, the applicant will be required to submit the following types of reports during the term of the agreement.

### 1. Financial Reports
- SF-425, Federal Financial Report

### 2. Program Performance Reports
- Quarterly reports

- Final report (please note final reports are public documents and will be made available on Reclamation's website)

    o The cost of creation of a final report should be included in the budget proposal as required in Section IV.D.2.k.

    o The Final Report shall include, but not limited to:
        - A narrative summary of all work performed under the agreement;
        - A detailed research report description;
        - Description and interpretation of the data, methods, results, and conclusions, as appropriate; and
        - Major accomplishments and/or implementation of the research.

      o   More detailed Final Report requirements may be specified if an agreement is awarded.

## 3. Significant Development Reports

- When applicable.

# Section VII—Agency Contacts

There will be no pre-application conference.  Organizations or individuals interested in submitting applications in response to this FOA *may direct questions to Reclamation in writing.*  Questions may be submitted to the attention of Stephanie Bartlett, GO, as follows:

**By mail**:

> Bureau of Reclamation
> Attn:  Stephanie Bartlett
> Mail Code:  84-27810
> P.O. Box 25007
> Denver CO  80225

**Express delivery:**

> Bureau of Reclamation
> Acquisitions Operations Group
> Attn:  Stephanie Bartlett
> Mail Code:  84-27810
> Denver Federal Center, Bldg. 67 Rm. 152
> 6th Avenue and Kipling Street
> Denver CO  80225

**By e-mail**:

> sbartlett@usbr.gov

# Section VIII—Other Information

## A. General Provisions

The General Provisions applicable to this agreement are available at:
<http://www.usbr.gov/mso/aamd/doing-business-financial-assistance.html>.  The
General Provisions are included within the Standard Document Templates shown on that
page.  Please review the appropriate recipient and project type template document
applicable to your application.

Applicants are advised to review 43 CFR 12 for further guidance relating to the
administration of an anticipated agreement beyond the point of award.

## B. Electronic Application through Grants.gov

**NOTE:  Some applicants have experienced difficulties when attempting to submit
their applications electronically through Grants.gov.  If you encounter problems
with the Grants.gov application submission process, you must contact the
Grants.gov Help Desk to obtain a "Case Number."  This will provide evidence of
your attempt to submit an application prior to the submission deadline.**

### 1. Applying for Funds Online at Grants.gov

Reclamation is participating in the Grants.gov initiative that provides the grant
community with a single website to find and apply for grant funding opportunities.
Reclamation encourages applicants to submit their applications for funding electronically
through <http://www.grants.gov/applicants/apply_for_grants.jsp>.  Applicant resource
documents, and a full set of instructions for registering with Grants.gov and completing
and submitting applications online are available at:  <http://www.grants.gov/applicants/
resources.jsp>.

If you need assistance with Grants.gov, the Contact Center is open 24 hours a day, 7 days
a week.  You may reach the Grants.gov Contact Center by email at
<support@grants.gov> or by calling 1-800-518-4726.

The following checklist is provided to give you a summary of the steps that are required
to register with Grants.gov.  **This Registration process must be completed prior to
submitting an electronic application through Grants.gov.**

**Additionally, see Step 2 below for completing the annual Central Contractor
Registration (CCR) renewal process.**

## 2.  Registering to Use Grants.gov (1-3 week process)

**Note:**  (The following checklist information is available electronically at <http://www.grants.gov/assets/Organization_Steps_Complete_Registration.pdf>.)The registration is a **one-time** process, which is **required** before representatives of an organization can submit grant application packages electronically through Grants.gov. **The registration process can take three to five business days or one to three weeks—** depending on your organization and if all steps are met in a timely manner.  The checklist in Table 2 provides registration guidance for a company; academic or research institution; State, local, or tribal government; not-for-profit; or other type of organization.

### Table 2.  Checklist for Registering Your Organization in Grants.gov

| √ | Step | Actions to take | Purpose | Time required |
|---|---|---|---|---|
| | **1:  Obtain Data Universal Number System (DUNS) Number** | **Has my organization identified its DUNS number?**<br><br>Ask the grant administrator, chief financial officer, or authorizing official of your organization to identify your DUNS number.<br><br>If your organization does not know its DUNS number or needs to register for one, visit Dun & Bradstreet at <http://fedgov.dnb.com/webform/displayHomePage.do> | The Federal government has adopted the use of DUNS numbers to track how Federal grant money is allocated.  DUNS numbers identify your organization. | Same Day. You will receive DUNS number information online. |

| √ | Step | Actions to take | Purpose | Time required |
|---|------|-----------------|---------|---------------|
| | **2: Register With Central Contractor Registration** | **Has my organization registered with the CCR?**<br><br>Ask the grant administrator, chief financial officer, or authorizing official of your organization if your organization has registered with the CCR.<br><br>If your organization is not registered, you can apply online by going to <http://www.ccr.gov>. CCR has developed a handbook <https://www.bpn.gov/ccr/doc/UserAccount.pdf> to help you with the process. If AFTER having registered in CCR, you experience any registration problems, you can get help by going to the Federal Service Desk <https://www.fsd.gov>.<br><br>When your organization registers with CCR, you must designate an E-Business Point of Contact (E-Biz POC). This person will identify a special password called an "M-PIN."<br><br>This M-PIN gives the E-Biz POC authority to designate which staff member(s) from your organization are allowed to submit applications electronically through Grants.gov. Staff members from your organization designated to submit applications are called Authorized Organization Representatives (AORs). | Registering with the CCR is required for organizations to use Grants.gov. | If your organization already has an Employer Identification Number (EIN) or Taxpayer Identification Number (TIN), then you should allow one – three business days to complete the entire CCR registration. The EIN and TIN will come from the Internal Revenue Service (IRS)<br><br>If your organization does not have an EIN or TIN, then you should allow two weeks for obtaining the information from the IRS when requesting the EIN or TIN via phone or Internet. The additional number of days needed is a result of security information that needs to be mailed to the organization. |

**\*Note:  Your organization needs to renew your CCR registration once a year. *You will not be able to move on to Step 3 until you have renewed your CCR registration. This renewal may take up to 5 business days.***

| √ | Step | Actions to take | Purpose | Time required |
|---|------|-----------------|---------|---------------|
| | **3: Username and Password** | **Have the AORs who officially submit applications on behalf of your organization completed their profile with Grants.gov to create their username and password?**<br><br>To create a username and password, AORs must complete their profile on Grants.gov. AORs will need to know the DUNS number of the organization for which they will be submitting applications to complete the process.<br><br>After your organization registers with the CCR, AORs must wait one business day before they can complete a profile and create their usernames and passwords on Grants.gov. | An AOR username and password serves as an "electronic signature" when submitting a Grants.gov application. | Same Day. After the AOR has completed their profile they will be prompted to create a username and password that will allow the user to login and check their approval status immediately. |

| √ | Step | Actions to take | Purpose | Time required |
|---|------|-----------------|---------|---------------|
| | **4:  AOR Authorization** | **Has the E-Business Point of Contact (E-Biz POC) approved AORs to submit applications on behalf of the organization?**<br><br>When an AOR registers with Grants.gov to submit applications on behalf of an organization, that organization's E-Biz POC will receive an email notification. The email the AOR submitted in the profile will be the email used when sending the automatic notification from Grants.gov to the E-Biz POC with the AOR copied on the correspondence.<br><br>The E-Biz POC must then login to Grants.gov (using the organization's DUNS number for the username and the "M-PIN" password (obtained in Step 2) and approve the AOR, thereby giving him or her permission to submit applications.<br><br>When an E-Biz POC approves an AOR, Grants.gov will send the AOR a confirmation email. | Only the E-Biz POC can approve AORs. This allows the organization to authorize specific staff members or consultants/grant writers to submit grants. Only those who have been authorized by the E-Biz POC can submit applications on behalf of the organization. | This depends on how long it takes the E-Biz POC to login and approve the AOR, once the approval is completed the AOR can immediately submit an application. |
| | **Step 5: Track AOR Status** | **What is your AOR status?**<br><br>AORs can also login to track their AOR status using their username and password (obtained in Step 3) to check if they have been approved by the E-Biz POC. | To verify that the organization's E-Biz POC has approved the AOR. | Logging in to check your AOR status is instantaneous.  The approval process to become an AOR depends on how long it takes the E-Biz POC to login and approve the AOR. |